ATTY. DOCKET NO. SERIAL NO. FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE 53087-5004 09/841,733 (MODIFIED) PATENT AND TRADEMARK OFFICE APPLICANT INFORMATION DISCLOSURE Gunter, et al. STATEMENT BY APPLICANT (Use several sheets if necessary) FILING DATE GROUP Technology Center 2100

FILING DATE IN APPROPRIATE (37 C.F.R. § 1.98(b)) April 25, 2001 **U.S. PATENT DOCUMENTS** ISSUE EXAMINER PATENT NUMBER DATE **PATENTEE CLASS** 705 76 2 6 04/10/01 Α 6 6 Barkan, et al. В 5 6 5 9 6 6 08/19/97 Sudia 380 23 1 C 5 9 0 2 05/11/99 705 3 8 8 Asay et al. 44 D 5 9 3 08/24/99 380 25 4 4 2 3 Muftic 7 Ε 5 9 8 4 8 4 11/02/99 Apperson et al. 380 25 F 9 0 5 09/28/99 380 25 5 6 0 8 De la Huerga 0 0 3 12/14/99 705 13 G 6 0 Lee et al. 9 0 2 05/04/99 395 Н 5 I 8 4 Hamdy-Swink 186 5 8 7 2 8 8 02/16/99 Romney et al. 380 25 I 4 21 J 5 7 8 4 4 6 3 07/21/98 Chen et al. 380 K 9 5 7 6 3 0 06/02/98 Ohashi et al. 380 25 1 FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION TRANSLATION **PUBLICATION** COUNTRY OR DATE SUBCLASS DOCUMENT NUMBER PATENT OFFICE **CLASS** OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32. Gunter, et al, "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, M 2000, Vol. 30, pp. 1609-1640. Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium On Principles Of Programming N Languages, January 2000, pp. 1-14. **DATE CONSIDERED EXAMINER**

1-PH/1462764.2

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ATTY. DOCKET NO. SERIAL NO. FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (MODIFIED) APPLICANT INFORMATION DISCLOSURE STATEMENT BY APPLICANT FILING DATE (Use several sheets if necessary) (37 C.F.R. § 1.98(b)) U.S. PATENT DOCUMENTS FILING DATE IF ISSUE SUBCLASS APPROPRIATE PATENT NUMBER DATE **PATENTEE CLASS** O 5 7 5 7 9 2 0 05/26/98 Misra et al. 380 25 P 5 7 5 4 6 5 4 05/19/98 Hiroya et al. 380 24 9 0 5 6 4 4 7 1 12/02/97 Chen et al. 380 25 7 7 5 2 R 4 1 1 05/02/95 Fischer 380 4 S 5 3 3 9 4 0 3 08/16/94 Parker 395 425 T 5 2 2 6 1 0 0 11/09/93 Perlman et al. 380 30 7 U 5 3 1 5 6 5 05/24/94 Abadi et al. 380 25 5 2 7 0 2 30 V 1 4 05/25/93 Fischer 380 7 7 W 4 8 6 8 8 09/19/89 Fischer 380 25 5 4 8 6 5 03/28/89 1 6 Musyck et al. 235 380 5 8 6 1 5 2 6 03/25/97 Bisbee et al. 380 25 FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION TRANSLATION PUBLICATION DATE **COUNTRY OR** SUBCLASS DOCUMENT NUMBER PATENT OFFICE **CLASS** NO OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Z Networks, October 2000, pp. 1-19. Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23 Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO BBSTRANGERS", pp. 1-13. AMINER DATE CONSIDERED := wold Bang 1-PH/1462764.2

JAN 2 5 2002

EXAMINER: Interpretation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JAN 2 5 2002

													R	50-	
FORM PT						r of o				ATTY. DOCI	KET NO.	SERIA	AL NO.	-CET	VED
(MODIFIED)	1	INFC)RM	ATIO	N DIS	CLO	SURE			APPLICANT			JAI NO. JAI Technolo	V 2 9 	2002
(37 C.F. <u>R.</u>	((Use				neces				FILING DAT	E	GROU	JP	y Cente	r2 ₁₀₀
								1	U.S. PATI	ENT DOCU	MENTS				
EXAMINE RINIDAL			1	PATE	NT N	UMB	ER		ISSUE DATE	PA	TENTEE	CLASS	SUBCLASS	FILING I APPROP	
#11U	СС	5	5	4	2	0	4	6	07/30/96	Carlson	et al.	395	186		
1	DD	5	4	7	5	7	5	8	12/12/95	Kikuchi		380	25		
	EE	5	4	5	5	9	5	3	10/03/95	Russell		395	739		
1 Ar	FF	5	4	1	2	7	2	7	05/02/95	Drexler o	et al.	380	24		
##	GG	6	1	3	8	2	3	5	10/24/00	Lipkin, e	t al.	713	155		
					ļ										
									:						
			FO	REI	GN:	PAT	EN7	r OF	R PUBLIS	HED FORE	IGN PATEN	T APPLIC	CATION		
			DO	CUM	ENT	NUM	BER		PUBLICATIO DATE	1 00	NTRY OR	CLASS	SUBCLASS	TRANS	LATION NO
														1.25	
_															
1 10	OT	HE	R D	oci	UME	NTS	S (In	clud	ing Autho	r, Title, Dat	e, Relevant I	Pages, Place	e of Publicat	ion)	
D19		НН			Rivest	, et al	., "ŞE	OSI –	A SIMPLE D	DISTRIBUTED	SECURITY INF	RASTRUCTU	RE", April 30,	1996, pp. 1	-37.
1		II			C. Ell	ison, '	'SPKI	REÇ	UIREMENT	'S", The Internet	Society, Septen	nber 1999, pp.	1-14.		
X	n/		-												
1)/	1	JJ		+	Elliso	n, et a	ı., "Sl	rki C	ERTIFICAT	E THEORY", T	he Internet Socie	ety, September	1999, pp. 1-43.	-	
EXAMINI	======================================	- K	In the	A li	W.	V.	£1,	m	3		DATE CONSI	DERED /	2/14		
			X ///	<u> </u>	H		VY,	4	/		<u> </u>		10 0		
1-PH/1462	764.2				-		/		•			Pag	ge <u>3</u> of <u>5</u>	_	

9

EXAMINER: Initial cuttion and include copy of this form with next communication to applicant.

FORM PTO-14 (MODIFIED)			IT OF COMME		ATTY. DOCKET NO.	SERI	AL NO.		
	STATEM	MENT BY A	SCLOSURE APPLICANT		APPLICANT		JA Technol	N 2 9 20 Ogy Cente	002
(37 C.F.R. § 1.9	(Use sev 98(b))	eral sheets i	f necessary)		FILING DATE	GRO	UP	-97 00116	1 2 100
				U.S. PATI	ENT DOCUMENTS				
EXAMINER INITIAL		PATENT N	NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DAT	
								_	
	11.								
								<u> </u>	
		-							
i.	+ + -								
	F	DREIGN	PATENT (OR PUBLIS	HED FOREIGN PATE	NT APPLIC	CATION		
				PUBLICATION DATE	COUNTRY OR		SUBCLASS	TRANSLA	TION
	D	OCUMENT	NUMBER		PATENT OFFICE	CLASS	002021.00	YES	NO
		1				<u> </u>			
-	+		 						
					(1		-	
	THER I	OCUMI	ENTS (Inch	uding Autho	or, Title, Date, Relevant	Pages, Place	of Publicat	 ion)	
MA	KK				Y ARCHITECTURE", Bluetootl				
			•						
	LL	Metta	ala, "BLUETO	OTH PROTOC	OL ARCHITECTURE", Bluetoc	oth White Pape	r, September 29	, 1999, pp. 1-	20.
*~	ММ				N OF A SECURE WEB CLIEN gy, May 2000, pp. 1-76.	IT USING SPK	I/SDSI CERTIF	FICATES", S	.B.
DJJ/	NN		Backman, "SM 70-171.	ARTCARDS: 1	THE INTELLIGENT WAY TO	SECURITY", 1	Network Compu	ting, May 15,	, 1998,
EXAMINER (III.	MA	1M	M	DATE CONS	IDERED /	7/12/134	6	
/		~ 4 V	J.	الدارا		,	ge 4 of 5	_	
1-PH/1462764	,					Pa	ge <u>T</u> of <u>O</u>	_	

业为

EXAMINER: Initial creative or sidered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

															REC	FIVE	_
FORM PTC)-1449	U.S.	DEPA	ARTN	/ENT	OF C	COMM	MERC	Œ	ATT	Y. DOCK	ET NO.	S	SERIA	REC JAN 2 Ochnology C	-10-	D
(MODIFIED)							ARK			APP	LICANT			7	JAN 2	9 2002	
			RMA ΓΕΜΕ				URE							1(echnology (enter 2	100
(37 C.F.R. §		(Use	severa							FILI	NG DATE	3	(GROU	JP		
			•					τ	J.S. PAT	ENT	DOCUN	MENTS					
EXAMINER INITIAL			P	ATEN	IT NU	JMBE	ER		ISSUE DATE		PAT	TENTEE	CLA	.SS	SUBCLASS	FILING I	
4																	
									, , , , , ,								
	<u> </u>																
	 													<u>-</u>			
	\vdash			· · · · · · · · · · · · · · · · · · ·			-										
													+				
	1																
	1	Π	FO	REI	GN I	PAT	ENT	OR			FORE	IGN PATE	NT APP	LIC	CATION	TRAN	SLATION
			DOG	CUMI	ENT I	NUM	BER		PUBLICATI DATE	ION		NTRY OR NT OFFICE	CLA	SS	SUBCLASS	YES	NO
	-															_	
	-								-								-
	07	 	R De	OCI	IME	NTS	(Ind	clud	ing Auth	or Ti	tle Date	Relevant	Pages I	Place	of Publicat	ion)	
1/10	<u>ъ</u>	oc	-						l.com/~cme				1 ages, 1				
<u> 100</u>		ļ	_[_									-					
1		PP	-	I	EEE,	www	.ieee.c	org, 1	3 pages			<u> </u>					
- 1)		QC	+	 	nfrare	d Dat	a Ass	ociati	on, www.ir	da.org,	93 pages						
AA			`														
					/		IJ-							1	4.		
EXAMINE	K	Z	YUR	H	<u> </u>	D	W.	W/	1			DATE CONS	7/2/	94	<i>v</i>		
		T	<i></i>		v						'						
						,								Pas	ge 5 of 5		

PTO/SB/08B (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
1995, no persons are required to respond to a collection of information unless it contains a valid OMB Under the Paperwork Reduce PAD control number.

Complete if Known Substitute for form 1449B/PTO 09/841 INFORMATION DISCLOSURE Application Number Filing Date STATEMENT BY APPLICANT First Named Inventor Group Art Unit 2131 (use as many sheets as necessary) **Examiner Name** Sheet of Attorney Docket Number 53087-5004

· · · · · · · · · · · · · · · · · · ·		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials	Cite No. ¹	include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ANK		MICROSOFT NET PASSPORT REVIEW GUIDE, UTHE WHY WHAT	
PP	A	AND HOW OF MICROSOFT, NET PASSPORT", Publishes:	ļ
	•	March 2002, PP. 1-50.	
ATHTA		· Net-Passport AVERVIEW:	
W/	В	Net fassport OVERVIEW: 13/http://www.microsoft.com/my services/passport/overview.asp fp.1-7 21/http://www.microsoft.com/my services/passport/overview.aspsp.1	
		DECEN	
•••••••		RECEIV	딕
	ļ	MAY 2 0 20	02
		Technology Cente	er 2
!			•••••
•••••••••••••••••••••••••••••••••••••••			
		· · · · · · · · · · · · · · · · · · ·	
			ᆜ
Examine	11	Yhlym A 19 Ann Date /// Ann	

*EXAMINER: Initial if eference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

REJ	Cion.
(0, 224	30
JEN 3	FORM PTO-

-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)

ATTY.	DOCKET NO.
05308	7-5004

SERIAL NO. 09/841,733

APPLICANT Gunter et al.

FILING DATE

GROUP

(37 C.F.R.	. § 1.98	(b))								pril 25, 2001				
		1								T DOCUMENTS	т	 	L PH DIC D	ATE IE
EXAMINE R INITIAL			P	ATE	NT NI	UMBI	ER		ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DA	
1	Α	6	2	ì	2	6	3	4	04/03/01	Greer, Jr et al				
	В	5	5	3	0	2	3	5	06/25/96	Stefik et al.				
	С	6	4	4	6	2	5	3	09/03/02	Mellmer			ED	
	D	5	5	8	3	9	9	3	12/10/96	Foster et al.		CCEIN	2003	~O
	Е	6	3	9	3	5	6	5	05/21/02	Lockhart et al.		Sr UNS	, di	St Sylps
	F	6	4	3	8	6	0	0	08/20/02	Greenfield et al.		214.	DOJ COV	
1.	G	5	5	7	7	1	2	0	11/19/96	Penzias		PECEN 3AN 2 Technol		
	Н	5	2	2	0	6	0	4	06/15/93	Gasser et al.				
	ı	6	2	8	2	1	8	3	08/28/01	Harris et al.				
	J	0	0	0	7	3	1	7	01/17/02	Callagahn et al.				
	К	0	1	2	8	9	0	3	09/12/02	Kernahan				
DYB	L	0	0	3	2	6	2	6	03/14/02	DeWolf et al.				
\ 	1	1	FO	RE	GN	PAT	EN'	ΓΟΙ	R PUBLISHI	ED FOREIGN PATE	NT APPLI	CATION	<u> </u>	
			DOC	CUMF	ENT N	NUME	BER		PUBLICATIO N DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRAN	SLATION NO
			Ī	T							02.100		TES	T
^	O	THE	RD	OC	UMI	ENT	S (Ir	ıclud	ling Author,	Title, Date, Relevant	Pages, Plac	e of Publica	tion)	
11/15	r	М	L	<u> </u>	Tuom	as Au	ra, "D	istrib	uted Access-Rigi	nts Management With Delega	ation Certificat	es", Secure Inte	rnet Progra	ımming
<i>M</i> / <i>O</i>			_	4	(LNC	S), 19	99 Sp	ringer	-Verlag, pp. 1-2	5.				
			-											
		┼-	+											
			\vdash	_										
EXAMIN	ER	.1	1				1			DATE CONSI	DERED 7/	12/1		
EVAMIN	ED. I.	nitial		HI		7 S	The second	III.	hrough aitation	if not in conformance and	not considered	1 Anciude con	of this	







PTO-1449 U.S. DEPARTMENT OF COMMERCE ED) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO. 053087-5004

SERIAL NO. 09/841,733

APPLICANT Gunter et al.

FILING DATE

GROUP

(37 C.F.R.	§ 1.98	(b))							A	pril 25, 2001				
	· · · · ·	_								T DOCUMENTS			=1	
XAMINE INITIAL			P	ATE	NT NU	JMBI	ER		ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DA	
	Α	5	6	4	9	0	9	9	07/15/97	Theimer et al.				
DIX	В	6	1	6	1	1	3	9	12/12/00	Win et al.		RF	CEI	VED
U		İ										4		
														2003
-												Techno	logy C	enter 21
			-											
											-			<u>-</u> . <u>-</u>
			FO	REI	GN	PAT	ľEN'	r or	PUBLISH	ED FOREIGN PATE	NT APPLI	CATION		
			DOC	UME	ENT N	NUME	BER		PUBLICATIO N DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRAN YES	SLATION NO
												<u> </u>		
					Ĺ									
	0	THE	CRD	OC	UMI	ENT	S (Ir	clud	ing Author,	Title, Date, Relevant	Pages, Plac	e of Publica	ition)	
			\vdash											
		<u> </u>	-	_										
			<u> </u>	_								. <u>.</u>	····	
								Λ						
XAMINE	ER.	<u> </u>	A Dri	m		+	B	711	N	DATE CONS	IDERED /	why.		

Substitute for form 1449A/PTO Complete if Known ORMATION DISCLOSURE **Application Number** 09/841,733 April 25, 2001 Filing Date STATEMENT BY APPLICANT Gunter et al. First Named Inventor **Group Art Unit** (use as many sheets as necessary) **Examiner Name** Attorney Docket Number 053087-5004 Sheet 1 of 1

		U.S	S. PATENT DOCUMENTS	
Exr Initials	U.S. Patent Document		Name of Inventor or Applicant of Cited	Date of Publication of
10	Number	Kind Code (if known)	Document	Cited Document MM-DD-YYYY
-15 As/	US-2003/0084296	A1	Kyojima et al.	May 2003
1/10	5,299,263		Beller et al.	. March 1994
*	US-2001/0053247	A1	Sowinski et al.	December 2001
14	US-2002/0016910	A1	Wright et al.	February 2002
NO				
				RECEIVED
				AUG 1 4 2003
				Technology Center 21

			FOREIGN PATE	NT DOCUMENTS		
		Foreign Patent Docum	nent		Date of Publication	T,
Exr Initials	Country Code	Number	Kind Code (if known)	Name of Inventor or Applicant of Cited Document	of Cited Document MM-DD-YYYY	
						Ĺ

	OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Exr Initials	Include Name of Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ₁
VRV)	Microsoft, Microsoft Computer Dictionary, 1997, Microsoft Press, 3rd Edition, Page 487	
77		
		
		ļ <u>.</u>
		_
		-
-		
		+
		-

Examiner	As II Stored	Date why A
Signature	Tourseld Stown	Considered //////

Substitutes or form 1449A/PTO Complete if Known MATION DISCLOSURE TEMENT BY APPLICANT **Application Number** 09/841,733 April 25, 2001 **Filing Date** APR 2 2 2004 First Named Inventor Gunter et al. Technology Center 2100 **Group Art Unit** (use as many sheets as necessary) **Examiner Name** Attorney Docket Number 053087-5004 1 of 1 Sheet

Exr Initials	U.S. Patent Document		S. PATENT DOCUMENTS Name of Inventor or Applicant of Cited	Date of Publication of Cited Document MM-DD-YYYY
A A	Number Kind Code known)		Document	
11/1/2	6,411,605	B1	Vance et al.	06/25/02
,	5,872,841		King et al.	02/16/99
	6,577,949	B1	Robinson et al.	06/10/03
	6,567,075	B1	Baker et al.	05/20/03
	6,031,904		An et al.	02/29/00
	5,689,642		Harkins et al.	11/18/97
	6,560,581		Fox	05/2003
	6,523,012		Glassman	02/2003
	6,061,448		Smith	05/2000
	6,651,166		Smith	11/2003
	6,430,688		Kohl	08/2002
	6,347,373		Hoepman	02/2002
	6,343,361		Nendell	01/2002
	6,256,733		Thakkar	07/2001
2/2	6,285,991		Powar	09/2001
12	2002/0162019	Al	Berry	10/2002

FOREIGN PATENT DOCUMENTS							
	Foreign Patent Document				Date of Publication	T ₁	
Exr Initials	Country Code	Number	Kind Code (if known)	Name of Inventor or Applicant of Cited Document	of Cited Document MM-DD-YYYY		
		•					

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Exr Initials	Include Name of Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ₁		
		-		
		-		

Examiner Signature	Lorundal Doums	Date Considered 7/2/94